Section 1: Employee Information
1. Enter employee name, department, R number, office phone number, and e-mail address for the employee requiring access to the online bank system.
2. Type of Request:
   - New Request - employees requesting access for the first time
   - Update Access - any changes to online access for existing users
   - Departmental Transfer - for employees who change departments, or change roles within an existing department, requiring a change in access to bank information
   - Termination – providing notice is very important at the time of an employee termination to ensure that all bank access capabilities have been removed

Section 2: Account Access – Check only the account(s) in which the employee will need access. Account access is limited as follows (one or more selections are allowed under "Select Account Access"):

1. Deposit **–** The user will be able to make deposits to the account via ACH or funds transfer.
2. View **–** The user will be able to view balance and history information for the specified account.
3. Withdrawal **–** The user will have the ability to draft or approve withdrawals from the account via ACH, funds transfer, or wire transfer.

Section 3: Online Roles – The online roles, listed below, are available for users in the online bank system. Only select the areas that are specifically related to the user's job responsibilities. It is important for the department head to understand, and be able to justify, why the employee needs access to each online role that is assigned (justification is required in Section 4).

Dual control is required for funds transfers, stop payments, and wire transfers. Dual control requires one user to "draft" a transaction and a separate user to "approve" the transaction. Online roles are as follows:

1. ACH Payments – send funds to multiple recipients in one transaction. This role requires SecureConnect online access. The Office of Treasury & Cash Management (Treasury) will provide authorized employees with access to SecureConnect.
2. Funds Transfers – initiate a one-time or recurring funds transfer between two internal bank accounts. This role requires SecureConnect online access. Treasury will provide authorized employees with access to SecureConnect.
3. Positive Pay – ability to upload check activity to prevent fraudulent account activity.
4. Reports – customized reporting options are available through SecureConnect online access. Treasury will provide authorized employees with access to SecureConnect.
5. Stop Payments – issue a stop payment on a check that has been issued (dual control)
6. Wire Transfers – only Treasury employees are authorized to draft or approve wire transfers.

Section 3 (continued): The following items must be completed for <u>funds transfers</u> and <u>stop payments</u>:

1. <u>Draft/Approve</u> – Please choose whether the user will serve in a "draft" capacity or in an "approve" capacity. To enhance internal controls, one or more users in a department may be approved to draft (create/initiate) a transaction and one or more individuals may be authorized to approve transactions. **One user is not allowed to serve in both ("draft" and "approve") capacities**.

2. <u>Per Transaction Limit</u> – The maximum dollar amount a user can approve per transaction. Transaction limits should be reasonable, and should approximate the largest transfer a user has processed over the past 12 months.

3. <u>Per Day Limit</u> – The maximum dollar amount a user can approve per day. Per day limits should be reasonable, and should approximate the largest total transfer amount a user has processed in a single day over the past 12 months.

4. <u>Per Account Per Day Limit</u> – The maximum dollar amount a user can approve per day per account, for accounts to which they are entitled. Per account per day limits should be reasonable, and should approximate the largest total transfer amount per account that a user has processed in a single day over the past 12 months.

5. <u>View Online Activity ("User", "None", or "All")</u>
    a. User – gives the specified user the ability to only view the online transactions that he or she has initiated
    b. None – removes complete access to the "Online Activity" screen under the "Accounts" menu
    c. All – enables the user to view not only his or her own online transactions, but those initiated by others at the System

Section 4: Justification – List the reasons why this employee needs access to the online bank system. Be sure to identify why the employee needs access to each account that has been selected in Section 2, as well as the level of account access for each of the selected accounts. Also identify why the employee needs access to each of the online roles that have been selected in Section 3, as well as the basis for transaction limits and view capabilities, if applicable.

Section 5: Authorized Signatures – The signature of the employee and the employee's department head is required. **Employees with "Deposit" or "Withdrawal" access in Section 2 may not be involved in the reconciliation of any of the accounts selected.** Final approval by Treasury is also required.